

PATENT  
Docket No. 220002057125  
Client Reference No. 94-161-9

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

H. Kirk HAMMOND et al.

Serial No.: 09/847,936

Filing Date: May 3, 2001

For: TECHNIQUES AND COMPOSITIONS  
FOR TREATING CARDIOVASCULAR  
DISEASE BY *IN VIVO* GENE  
DELIVERY

Examiner: To Be Assigned

Group Art Unit: 1646

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PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY  
UNDER 37 C.F.R. § 3.71

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Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

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telephone (650) 813-5600, to prosecute this application and transact all matters in the United  
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of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71  
provided that if any one of said attorneys or agents ceases being affiliated with the law firm of  
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agent ceases being so affiliated.


Please direct all written communications relative to this application to:

Catherine M. Polizzi  
Morrison & Foerster at  
755 Page Mill Road  
Palo Alto, California 94304-1018

Please direct all telephone communications to Catherine M. Polizzi at (650) 813-5651.

The Regents of the University of California  
a California corporation

Dated: February 21, 2002

  
Name: Linda S. Stevenson  
Title: Manager, Patent Prosecution  
Address: 1111 Franklin Street, 5th Floor  
Oakland, CA 94607-5300

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**STATEMENT UNDER 37 CFR 1.73(b)**

Applicant/Patent Owner: H. KIRK HAMMOND et al.  
Application No./Patent No.: 09/847,936  
Filed/Issue Date: May 3, 2001  
Entitled: TECHNIQUES AND COMPOSITIONS FOR TREATING CARDIOVASCULAR DISEASE BY IN VIVO GENE DELIVERY  
The Regents of the University of California, a corporation  
(Name of Assignor) (Type of Assignor, e.g., corporation, partnership, university, etc.)

states that it is:

1. ☒ the assignor of the entire right, title, and interest or  
2. ☐ an assignor of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 202.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Feb 21, 2002  
DDB

Linda S. Stevenson  
Signature  
Manager, Patent Prosecution  
Title

Notice: This document, which form is required to be filed in 3 hours to complete, must be filed with the original assignment document or a true copy of the original document. Any assignment on the record of the patent must be submitted to the Assignment Division, U.S. Patent and Trademark Office, Washington, DC 20591. Please do not file this document unless it is required to be filed. See the Assignment Guidelines for Patent Prosecution, DC 20591.

PA-666792

Attorney Docket No.: 220002057125  
Client Reference: 94-16149

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U.C. Case No.: 94-161-9

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1. H. Kirk Hammond; 9537 La Jolla Farms Road, La Jolla, CA 92037
2. Wolfgang Dillmann, 355 S. Nardo, Solano Beach, CA 92075
3. Frank Giordano, 412 Bartlett Drive, Madison, CT 06443

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**TECHNIQUES AND COMPOSITIONS FOR TREATING CARDIOVASCULAR DISEASE BY IN VIVO GENE DELIVERY**

and which is found in

- (a) U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) U.S. patent application filed herewith and listing the above named persons as inventors
- (c) ☒ U.S. application serial no. 09/847,936, filed on May 3, 2001
- (d) U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

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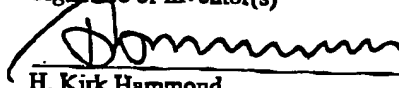
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Signature of Inventor(s)



H. Kirk Hammond

\_\_\_\_\_  
Wolfgang Dillmann

\_\_\_\_\_  
Frank Giordano

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**ASSIGNMENT**

U.C. Case No.: 94-161-9

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

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1. H. Kirk Hammond; 9537 La Jolla Farms Road, La Jolla, CA 92037
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3. Frank Giordano, 412 Bartlett Drive, Madison, CT 06443

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**TECHNIQUES AND COMPOSITIONS FOR TREATING CARDIOVASCULAR DISEASE BY IN VIVO GENE DELIVERY**

and which is found in

- (a) U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) U.S. patent application filed herewith and listing the above named persons as inventors
- (c) **X** U.S. application serial no. 09/847,936, filed on May 3, 2001
- (d) U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

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\_\_\_\_ day of \_\_\_\_\_, 2002

19 day of Feb., 2002

\_\_\_\_ day of \_\_\_\_\_, 2002

Signature of Inventor(s)

H. Kirk Hammond

W. Dillmann  
Wolfgang Dillmann

\_\_\_\_\_  
Frank Giordano

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